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Section 4: Acknowledgements

997 Functional Acknowledgement Outbound

A functional acknowledgment is generated to report the acceptance or rejection of functional group, transaction set, or segment. ISDH generates an outbound 997 to acknowledge all inbound transactions. The software used by ISDH is Mercator Software's Healthcare Integration Package. Mercator's method for creating 997 acknowledgements is to run data through a compliance map. The compliance map is defined to validate the EDI data against the complete HIPAA standard transaction set definition.

ISDH's direction was to take the standard HIPAA compliance maps created by Mercator without modifications. If transactions contain errors, the entire ST*SE is rejected. Any additional functional groups within the ISA-IEA is accepted provided data meets compliance rules.

Segment Name	Transaction Set Header
Segment ID	ST
Loop	N/A
Usage	Required
Segment Notes	
Example	ST*997*0001~

Element ID	Usage	Guide Description/Valid Values	Comments
ST01	R	Transaction Set Identifier Code 997 – Functional Acknowledgement	
ST02	R	Transaction Set Control Number	This number is assigned locally matches the value in the corresponding SE segment.

Segment Name	Functional Group Response Header
Segment ID	AK1
Loop	N/A
Usage	Required
Segment Notes	This segment is used to respond to the functional group information in the interchange envelope.
Example	AK1*HS*1~

Element ID	Usage	Guide Description/Valid Values	Comments
AK101	R	Functional Identifier Code HS - Eligibility, Coverage or Benefit Inquiry	Enter the appropriate identifier

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Element ID	Usage	Guide Description/Valid Values	Comments
		(270) HR – Health Care Status Request (276) HI – Health Care Services Review (278) HC – Health Care Claim (837)	to designate the type of transaction data to follow the GS segment.
AK102	R	Transaction Set Control Number	This data element contains the value from the GS06 data element from the GS segment of the original file being acknowledged.

Segment Name	Transaction Set Response Header
Segment ID	AK2
Loop	AK2
Usage	Situational
Segment Notes	This segment is used to start the acknowledgment of a transaction set. If there are no errors at the transaction set level, this segment is not returned.
Example	AK2*270*0001~

Element ID	Usage	Guide Description/Valid Values	Comments
AK201	R	Version/Release/Industry Identifier Code 004010X092A1 – Health Care Eligibility Benefit Inquiry (270) 004010X093A1 – Health Care Claim Status Request (276) 004010X094A1 – Health Care Services Review – Request for Review (278) 004010X097A1 – Health Care Claim (837)	This data element contains the appropriate identifier to designate the identifier code for the type of transaction data to follow the GS segment.
AK202	R	Transaction Set Control Number	This data element contains the value from the ST02 data element from the ST segment of the original file being acknowledged.

Segment Name	Data Segment Note
Segment ID	AK3
Loop	AK2/AK3
Usage	Situational
Segment Notes	This segment is used to report segment/looping errors in the submitted transaction.

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Example	AK3*NM1*4**8~
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Element ID	Usage	Guide Description/Valid Values	Comments
AK301	R	Segment ID Code	This data element lists the two or three byte segment ID that contains the error, such as ST, SBR.
AK302	R	Segment Position in Transaction Set	This data element contains the sequential position of the Segment ID identified in AK301. This count begins with 1 for the ST segment and increments by 1 from that point.
AK303	S	Loop Identifier Code	This data element identifies the loop where the erroneous segment resides.
AK304	S	Segment Syntax Error Code See code list in the IG	This data element describes the type of error encountered.

Segment Name	Data Segment Note
Segment ID	AK4
Loop	AK2/AK3
Usage	Situational
Segment Notes	This segment is used to report data element/composite errors in the submitted transaction.
Example	AK4*1**7*ZZ~

Element ID	Usage	Guide Description/Valid Values	Comments
AK401	R	Position in Segment	This is a composite data element.
AK401-1	R	Segment Position in Transaction Set	This data element contains the sequential position of the simple data element or composite data structure. This count begins with 1 for the initial element and increments by 1 from that point.
AK401-2	S	Component Data Element Position in Composite	This data element identifies within the composite structure where the error occurs.
AK403	S	Data Element Reference Number	This is the Data Element Dictionary reference number associated with the erroneous

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			data element/composite.
AK404	R	Data Element Syntax Error Code See code list in IG	This data element describes the type of error encountered.
AK405	S	Copy of Bad Data Element	

Segment Name	Transaction Set Response Trailer		
Segment ID	AK5		
Loop	AK2/AK3		
Usage	Required		
Segment Notes	This segment is used to acknowledge the acceptance or rejection of a transaction and any report errors.		
Example	AK5*R*5~		

Element ID	Usage	Guide Description/Valid Values	Comments
AK501	R	Transaction Set Acknowledgment Code A – Accepted R - Rejected	
AK502	S	Transaction Set Syntax Error Code See code list in IG	This data element describes the type of error encountered.
AK503	S	Transaction Set Syntax Error Code See code list in IG	This data element describes the type of error encountered.
AK504	S	Transaction Set Syntax Error Code See code list in IG	This data element describes the type of error encountered.
AK505	S	Transaction Set Syntax Error Code See code list in IG	This data element describes the type of error encountered.
AK506	S	Transaction Set Syntax Error Code See code list in IG	This data element describes the type of error encountered.

Segment Name	Functional Group Response Trailer		
Segment ID	AK9		
Loop	N/A		
Usage	Required		
Segment Notes	This segment is used to acknowledge the acceptance or rejection of a functional group and report the number of transaction sets originally included, received, and accepted.		
Example	AK9*R*1*1*0~		

Element ID	Usage	Guide Description/Valid Values	Comments
AK901	R	Functional Group Acknowledgment Code A – Accepted	

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Element ID	Usage	Guide Description/Valid Values	Comments
		P – Partially Accepted, at least one transaction set was rejected R - Rejected	
AK902	S	Number of Transaction Sets Included	This data element contains the value from the GE01 data element from the GE segment of the original file being acknowledged.
AK903	S	Number of Received Transaction Sets	
AK904	S	Number of Accepted Transaction Sets	
AK905	S	Functional Group Syntax Error Code See code list in IG	This data element describes the type of error encountered.
AK906	S	Functional Group Syntax Error Code See code list in IG	This data element describes the type of error encountered.
AK907	S	Functional Group Syntax Error Code See code list in IG	This data element describes the type of error encountered.
AK908	S	Functional Group Syntax Error Code See code list in IG	This data element describes the type of error encountered.
AK909	S	Functional Group Syntax Error Code See code list in IG	This data element describes the type of error encountered.

Segment Name	Transaction Set Trailer
Segment ID	SE
Loop	N/A
Usage	Required
Segment Notes	
Example	SE*8*0001~

Element ID	Usage	Guide Description/Valid Values	Comments
ST01	R	Number of Included Segments	This is the total number of segments included in this acknowledgment. This value includes the ST and SE segments.
ST02	R	Transaction Set Control Number	This number is assigned locally and matches the value in the preceding ST segment.

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Example of 997 Functional Acknowledgement

This example illustrates a 270 transaction rejected due to an invalid NM101:

```
ST*997*0001~  
AK1*HS*1~  
AK2*270*0001~  
AK3*NM1*4**8~  
AK4*1**7*ZZ~  
AK5*R*5~  
AK9*R*1*1*0~  
SE*8*0001~
```

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997 Functional Acknowledgement Inbound

ISDH expects a functional acknowledgement in response to all outbound transactions. The software used to automatically reconcile outbound transaction sets to inbound acknowledgments is Mercator Software's Commerce Manager Product.

Segment Name	Transaction Set Header
Segment ID	ST
Loop	N/A
Usage	Required
Segment Notes	
Example	ST*997*0001~

Element ID	Usage	Guide Description/Valid Values	Comments
ST01	R	Transaction Set Identifier Code 997 – Functional Acknowledgement	
ST02	R	Transaction Set Control Number	This number is assigned locally matches the value in the corresponding SE segment.

Segment Name	Functional Group Response Header
Segment ID	AK1
Loop	N/A
Usage	Required
Segment Notes	This segment is used to respond to the functional group information in the interchange envelope.
Example	AK1*HB*1~

Element ID	Usage	Guide Description/Valid Values	Comments
AK101	R	Functional Identifier Code HB – Eligibility, Coverage or Benefit Information (271) HN – Health Care Claim Status Notification (277) HI – Health Care Services Review (278) HP – Health Care Claim Payment/Advice (835)	The data element contains the appropriate identifier to designate the type of transaction data to follow the GS segment.
AK102	R	Transaction Set Control Number	This data element contains the value from the GS06 data element from the GS segment of

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Element ID	Usage	Guide Description/Valid Values	Comments
			the original file being acknowledged.

Segment Name	Transaction Set Response Header		
Segment ID	AK2		
Loop	AK2		
Usage	Situational		
Segment Notes	This segment is used to start the acknowledgment of a transaction set. If there are no errors at the transaction set level, this segment is not returned.		
Example	AK2*271*0001~		

Element ID	Usage	Guide Description/Valid Values	Comments
AK201	R	Version / Release / Industry Identifier Code 004010X092A1 – Health Care Eligibility Benefit Response (271) 004010X093A1 – Health Care Claim Status Response (277) 004010X094A1 – Health Care Services Review – Response (278) 004010X091A1 – Health Care Claim Payment/Advice (835)	This data element contains the appropriate identifier to designate the identifier code for the type of transaction data to follow the GS segment.
AK202	R	Transaction Set Control Number	This data element contains the value from the ST02 data element from the ST segment of the original file being acknowledged.

Segment Name	Data Segment Note		
Segment ID	AK3		
Loop	AK2/AK3		
Usage	Situational		
Segment Notes	This segment is used to report segment/looping errors in the submitted transaction.		
Example	AK3*NM1*4**8~		

Element ID	Usage	Guide Description/Valid Values	Comments
AK301	R	Segment ID Code	This data element lists the two or three byte segment ID that contains the error, such as ST, SBR.

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AK302	R	Segment Position in Transaction Set	This data element contains the sequential position of the Segment ID identified in AK301. This count begins with 1 for the ST segment and increments by 1 from that point.
AK303	S	Loop Identifier Code	This data element identifies the loop where the erroneous segment resides.
AK304	S	Segment Syntax Error Code See code list in the IG	This data element describes the type of error encountered.

Segment Name	Data Segment Note
Segment ID	AK4
Loop	AK2/AK3
Usage	Situational
Segment Notes	This segment is used to report data element/composite errors in the submitted transaction.
Example	AK4*1**7*ZZ~

Element ID	Usage	Guide Description/Valid Values	Comments
AK401	R	Position in Segment	This is a composite data element.
AK401-1	R	Segment Position in Transaction Set	This data element contains the sequential position of the simple data element or composite data structure. This count begins with 1 for the initial element and increments by 1 from that point.
AK401-2	S	Component Data Element Position in Composite	This data element identifies within the composite structure where the error occurs.
AK403	S	Data Element Reference Number	This is the Data Element Dictionary reference number associated with the erroneous data element/composite.
AK404	R	Data Element Syntax Error Code See code list in IG	This data element describes the type of error encountered.
AK405	S	Copy of Bad Data Element	

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Segment Name	Transaction Set Response Trailer
Segment ID	AK5
Loop	AK2/AK3
Usage	Required
Segment Notes	This segment is used to acknowledge the acceptance or rejection of a transaction and any report errors.
Example	AK5*R*5

Element ID	Usage	Guide Description/Valid Values	Comments
AK501	R	Transaction Set Acknowledgment Code A – Accepted R - Rejected	
AK502	S	Transaction Set Syntax Error Code See code list in IG	This data element describes the type of error encountered.
AK503	S	Transaction Set Syntax Error Code See code list in IG	This data element describes the type of error encountered.
AK504	S	Transaction Set Syntax Error Code See code list in IG	This data element describes the type of error encountered.
AK505	S	Transaction Set Syntax Error Code See code list in IG	This data element describes the type of error encountered.
AK506	S	Transaction Set Syntax Error Code See code list in IG	This data element describes the type of error encountered.

Segment Name	Functional Group Response Trailer
Segment ID	AK9
Loop	N/A
Usage	Required
Segment Notes	This segment is used to acknowledge the acceptance or rejection of a functional group and report the number of transaction sets originally included, received, and accepted.
Example	AK9*R*1*1*0~

Element ID	Usage	Guide Description/Valid Values	Comments
AK901	R	Functional Group Acknowledgment Code A – Accepted P – Partially Accepted, at least one transaction set was rejected R - Rejected	
AK902	S	Number of Transaction Sets Included	This data element contains the value from the GE01 data element from the GE segment of the original file being acknowledged.

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Element ID	Usage	Guide Description/Valid Values	Comments
AK903	S	Number of Received Transaction Sets	
AK904	S	Number of Accepted Transaction Sets	
AK905	S	Functional Group Syntax Error Code See code list in IG	This data element describes the type of error encountered.
AK906	S	Functional Group Syntax Error Code See code list in IG	This data element describes the type of error encountered.
AK907	S	Functional Group Syntax Error Code See code list in IG	This data element describes the type of error encountered.
AK908	S	Functional Group Syntax Error Code See code list in IG	This data element describes the type of error encountered.
AK909	S	Functional Group Syntax Error Code See code list in IG	This data element describes the type of error encountered.

Segment Name	Transaction Set Trailer
Segment ID	SE
Loop	N/A
Usage	Required
Segment Notes	
Example	SE*8*0001~

Element ID	Usage	Guide Description/Valid Values	Comments
SE01	R	Number of Included Segments	This is the total number of segments included in this acknowledgment. This value includes the ST and SE segments.
SE02	R	Transaction Set Control Number	This number is assigned locally and matches the value in the preceding ST segment.

Example of 997 Functional Acknowledgement

This example illustrates a 271 transaction rejected due to an invalid NM101:

```

ST*997*0001~
AK1*HB*1~
AK2*271*0001~
AK3*NM1*4**8~
AK4*1**7*ZZ~
AK5*R*5~
AK9*R*1*1*0~
SE*8*0001~

```

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TA1 Interchange Acknowledgement Outbound

TA1 or Interchange Acknowledgements validate the envelopes only. ISDH will generate an Interchange acknowledgment only in the event there are envelope errors. ISDH will not generate TA1 acknowledgements for accepted envelopes. The software used by ISDH is Mercator's Healthcare Integration Package. Mercator's method for creating TA1 acknowledgements is to run data through a compliance map. The compliance map is defined to validate the EDI data against the complete HIPAA standard transaction set definition.

ISDH's direction was to take the standard HIPAA compliance maps created by Mercator without modifications.

If the ISA or IEA envelope contain error(s), the entire ISA*IEA is rejected.

If the GS or GE envelope contain error(s) the entire GS*GE is rejected. In this case, any additional functional groups within the ISA-IEA is accepted provided data meets enveloping rules.

Segment Name	Transaction Set Header
Segment ID	TA1
Loop	N/A
Usage	Required
Segment Notes	
Example	TA1*0000000001*000101*0000*R*022

Element ID	Usage	Guide Description/Valid Values	Comments
TA101	R	Interchange Control Number	This is the interchange control number of the original interchange that this TA1 is acknowledging.
TA102	R	Interchange Date	This is the date of the original interchange to be acknowledged (YYMMDD)
TA103	R	Interchange Time	This is the time of the original interchange being acknowledged
TA104	R	Interchange Acknowledgment Code See code list in the IG	Indicates "E" for accepted but errors noted or "R" for Rejected because of errors.
TA105	R	Interchange Note Code See code list in the IG	See IG for list of codes and descriptions

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Example of TA1 Interchange Acknowledgement

This example illustrates an Interchange rejected due to an invalid Usage Indicator (ISA15):

```
ISA*00*                *00*                *ZZ*ISDH
*ZZ*RECVR              *030919*1326*U*00401*000000001*0*X*:
TA1*000000003*010806*1200*R*020
IEA*0*000000001
```

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824 Application Advice

The 824 Application advice will be ISDH's response to type 4 (inter-segment and situation testing) errors. ISDH will generate an 824 only in the event there are type 4 errors. The software used by ISDH is Mercator's Healthcare Integration Package 3.1. Mercator's method for creating 824 application advice is to run data through a compliance map. The compliance map is defined to validate the EDI data against the complete HIPAA standard transaction set definition.

ISDH's direction was to take the standard HIPAA compliance maps created by Mercator without modifications.

If a transaction contains type 4 error(s), the entire transaction will be rejected.

Segment Name	Transaction Set Header
Segment ID	ST
Loop	N/A
Usage	Required
Segment Notes	
Example	ST*824*0001*004050X166~

Element ID	Usage	Guide Description/Valid Values	Comments
ST01	R	Transaction Set Identifier Code 824 -Application Advice	
ST02	R	Transaction Set Control Number	This number is assigned locally matches the value in the corresponding SE segment.
ST03	R	Implementation Convention Reference 004050X166	

Segment Name	Beginning Segment
Segment ID	BGN
Loop	N/A
Usage	Required
Segment Notes	
Example	BGN*11*0002*20031002*1708**000000003**U~

Element ID	Usage	Guide Description/Valid Values	Comments
BGN01	R	Transaction Set Purpose Code 11 - Response	
BGN02	R	Reference Identification	An unique transaction identification number

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Element ID	Usage	Guide Description/Valid Values	Comments
BGN03	R	Date	Format: CCYYMMDD
BGN04	S	Time	Format: HHMM
BGN05	S	Time Code	ISDH Not used
BGN06	S	Reference Identification	Reference information as defined for a particular Transaction Set or as specified by the Reference Identification Qualifier
BGN07	O	Transaction Type Code	ISDH Not used
BGN08	O	Action Code	
BGN09	O	Security Level Code	ISDH Not used

Segment Name	N1 Name
Segment ID	N1
Loop	N/A
Usage	Situational
Segment Notes	<p>1. This segment, used alone, provides the most efficient method of providing organizational identification. To obtain this efficiency the "ID Code" (N104) must provide a key to the table maintained by the transaction processing party.</p> <p>2. N105 and N106 further define the type of entity in N101.</p>
Example	NEED EXAMPLE HERE

Element ID	Usage	Guide Description/Valid Values	Comments
N101	R	Entity Identifier Code	P5 - Plan Sponsor PR - Payer
N102	S	Name	
N103	O	Identification Code Qualifier	ISDH Not used
N104	O	Identification Code	ISDH Not used
N105	O	Entity Relationship Code	ISDH Not used
N106	O	Entity Identifier Code	ISDH Not used

Segment Name	OTI Original Transaction Identification
Segment ID	OTI
Loop	N/A
Usage	Required

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Segment Notes	
Example	OTI*TR*TN*0002***20010101*120000*1*0002*270*004010X092A1~

Element ID	Usage	Guide Description/Valid Values	Comments
OTI01	R	Application Acknowledgement Code TR - Transaction Set Reject	
OTI02	R	Reference Identification Qualifier TN - Transaction Reference Number	
OTI03	R	Reference Identification Original transaction Segment: ST02	This is the reference number from the original transaction that is being rejected by this 824 advice.
OTI04	O	Application Sender's Code	Not Used
OTI05	O	Application Receiver's Code	Not Used
OTI06	O	Date	Format: CCYYMMDD
OTI07	O	Time	Format: HHMMSSDD,
OTI08	S	Group Control Number	Assigned number originated and maintained by the sender
OTI09	S	Transaction Set Control Number Original transaction Segment: ST02	Assigned by the originator for a transaction set
OTI10	R	Transaction Set Identifier Code 270	Original transaction set
OTI11	O	Version/Release/Industry Identifier Code 004010X092A1	Not Used
OTI12	O	Transaction Set Purpose Code	Not Used
OTI13	O	Transaction Type Code	Not Used
OTI14	O	Application Type	Not Used
OTI15	O	Action Code	Not Used
OTI16	O	Transaction Handling Code	Not Used
OTI17	O	Status Reason Code	Not Used

Segment Name	QTY Quantity
Segment ID	QTY
Loop	N/A
Usage	Situational
Segment Notes	To specify quantity information
Example	NEED EXAMPLE HERE?

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Element ID	Usage	Guide Description/Valid Values	Comments
QTY01	R	Quantity Qualifier	
QTY02	X	Quantity	Not Used
QTY03	X	Composite Unit of Measure	
C00101	R	Unit or Basis for Measurement Code	Not Used
C00102	X	Exponent	Not Used
C00103	X	Multiplier	Not Used
C00104	X	Unit or Basis for Measurement Code	Not Used
C00105	X	Exponent	Not Used
C00106	X	Multiplier	Not Used
C00107	X	Unit or Basis for Measurement Code	Not Used
C00108	X	Exponent	Not Used
C00109	X	Multiplier	Not Used
C00110	X	Unit or Basis for Measurement Code	Not Used
C00111	X	Exponent	Not Used
C00112	X	Multiplier	Not Used
C00113	X	Unit or Basis for Measurement Code	Not Used
C00114	X	Exponent	Not Used
C00115	X	Multiplier	Not Used
QTY04	X	Free-Form Message	Not Used

Segment Name	TED Technical Error Description
Segment ID	TED
Loop	N/A
Usage	Situational
Segment Notes	To identify the error and, if feasible, the erroneous segment, or data element, or both
Example	TED*848*32756 EQ must be present.*HL*11*3~

Element ID	Usage	Guide Description/Valid Values	Comments
TED01	R	Application Error Condition Code 848 - Incorrect Data	Code indicating application error condition. Please X12 Notes for the error code information
TED02	S	Free Form Message	
TED03	O	Segment ID Code	Code defining the segment ID of the data segment in error
TED04	O	Segment Position in Transaction Set	The numerical count position of this data segment from the start of the transaction set: the

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Element ID	Usage	Guide Description/Valid Values	Comments
			transaction set header is count position 1
TED05	O	Element Position in Segment	This is used to indicate the relative position of a simple data element, or the relative position of a composite data structure with the relative position of the component within the composite data structure, in error; in the data segment the count starts with 1 for the simple data element or composite data structure immediately following the segment ID
TED06		Data Element Reference Number	NOT USED
TED07		Copy of Bad Data Element	NOT USED
TED08		Data Element New Content	NOT USED

Segment Name	NTE Note/Special Instruction
Segment ID	NTE
Loop	N/A
Usage	NOT USED
Segment Notes	This Segment is checking Dependent
Example	

Element ID	Usage	Guide Description/Valid Values	Comments
NTE01	R	Note Reference Code	NOT USED
NTE02	R	Description	NOT USED

Segment Name	Transaction Set Trailer
Segment ID	SE
Loop	N/A
Usage	Required

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Segment Notes	To indicate the end of the transaction set and provide the count of the transmitted segments (including the beginning (ST) and ending (SE) segments)
Example	SE*5*0001~

Element ID	Usage	Guide Description/Valid Values	Comments
SE01	R	Number of Included Segments	This is the total number of segments included in this acknowledgment. This value includes the ST and SE segments.
SE02	R	Transaction Set Control Number	This number is assigned locally and matches the value in the preceding ST segment.

Example of 824 Application Advice

This example illustrates an 824 Application Response to a missing dependent loop:

```

ISA*00*                *00*                *ZZ*ISDH
*ZZ*
*031002*1708*U*00401*000000001*0*T*:~
GS*AG*CSHCS*
*20031002*1708*1*X*004050X166~
ST*824*0001*004050X166~
BGN*11*0002*20031002*1708**000000003**U~
OTI*TR*TN*0002***20010101*120000*1*0002*270*004
010X092A1~
TED*848*32756 EQ must be present.*HL*11*3~
SE*5*0001~
GE*1*1~
IEA*1*000000001~

```